



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of Maria Palasis

Group Art Unit: 3763

Application No.: 09/760,807

Examiner: Loan H. Thanh

Filed: January 17, 2001

Docket No.: 12013/58101

For: THERAUPEUTIC DELIVERY BALLOON

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INFORMATION DISCLOSURE STATEMENT

Director of the U.S. Patent and Trademark Office
Washington, D.C. 20231

Sir:

Pursuant to 37 CFR § 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) listed on the attached PTO-1449 and the enclosed PCT Search Report. Unless otherwise indicated herein, one copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom. The filing of this Information Disclosure Statement and the enclosed PTO Form No. 1449, shall not be construed as an admission that the information cited is prior art, or is considered to be material to patentability as defined in 37 C.F.R. § 1.56(b). The paragraphs marked below are applicable.

- ☐ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date or the date of filing a CPA, OR (b) before the mailing date of a first Office Action on the merits in the present application. No certification or fee is required.
- ☐ 2. This Information Disclosure Statement is being filed with a Request for Continued Examination (RCE). No certification or fee is required.
- ☒ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.

- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).
- ☒ c. Please debit Deposit Account No. 11-0600 in the amount of \$240.00 in payment of the fee under 37 CFR §1.17(p) to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- ☐ 4. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicant(s) hereby petition(s) that the Information Disclosure Statement be considered. Please debit Deposit Account No. 11-0600 in the amount of \$130.00 in payment of the petition fee under 37 CFR §1.17(i)(1) to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).
- ☐ 5. Relevance of the non-English language reference(s) is discussed in the present specification.
- ☒ 6. The reference(s) was/were cited in a counterpart foreign application. An English language version of the foreign search report is attached for the Examiner's information.
- ☐ 7. A concise explanation of the relevance of the non-English language reference(s) appears in the Appendix attached hereto.
- ☐ 8. The Examiner's attention is directed to co-pending U.S. Patent Application No. _____, filed, which is directed to related technical subject matter. The

identification of this U.S. Patent Application is not to be construed as a waiver of secrecy as to that application now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited application and the art cited therein during examination of the present application.

☐ 9. This application is one of a series of related applications, identified in the attached Appendix, which are directed to related technical subject matter. The identification of those U.S. Patent Applications is not to be construed as a waiver of secrecy as to those applications now or upon issuance of the present application as a patent. The Examiner is respectfully requested to consider the cited applications and the art cited therein during the examination.

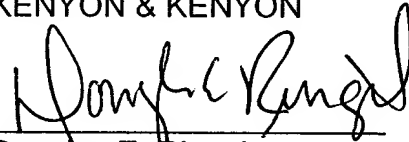
☐ 10. The reference(s) was/were cited by or submitted to the Office in parent application No. _____, filed _____, which is relied upon for an earlier filing date under 35 U.S.C. §120. Thus, copies of these references are not attached. 37 CFR §1.98(d).

☐ 11. English-language Abstracts of the non-English language references are attached hereto.

☐ 12. Other.

Respectfully submitted,

KENYON & KENYON



Douglas E. Ringel
Registration No. 34,416

Date: Apr. 4, 2003



The stamp of Patent Office may be taken as acknowledging receipt, on *#76/SH*
the date stamped, of *D-1003*

INVENTOR(S): Maria Palasis

SERIAL NO.: 09/760,807

FILED: January 17, 2001

TITLE: THERAPEUTIC DELIVERY BALLOON

The PTO is authorized to charge \$240.00 fee regarding this filing to Deposit Account No. 11-0600.

PAPERS FILED:

1. INFORMATION DISCLOSURE STATEMENT W/PTO FORM 1449,
- (2) TWO REFERENCES AND INTERNATIONAL SEARCH REPORT.



Douglas E. Ringel/DLW/vjw

12013/58101

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